

# Iowa Home and Community Based Services (HCBS)

## Intellectual Disability (ID) Waiver Settings Transition Plan

### Section 1: Assessment

Iowa proposes a multifaceted approach to assessment. This will include the completion of a Settings Analysis, which will be a high-level assessment of settings within the state to identify general categories (not specific providers or locations) that are likely to be in compliance; not in compliance; presumed to be non-HCBS; or those that are not yet, but could become compliant. Other avenues for assessment will include identifying HCBS settings during provider enrollment and re-enrollment; evaluating settings through the existing HCBS quality assurance onsite review process and the provider self-assessment process; and monitoring of Iowa Participant Experience Survey (IPES) results for member experiences. Assessment activities will be incorporated into current quality assurance processes to the extent possible.

Action Item	Description	Proposed Start Date	Proposed End Date	Sources/Documents
Settings Analysis	State identified HCBS settings as they potentially conform to HCBS characteristics and ability to comply in the future. General settings are classified into categories (Yes - settings fully compliant, Not Yet - settings that will comply with changes, Not Yet - setting is presumed non-HCBS but evidence may be presented for heightened scrutiny review, and No - setting do not comply) The Iowa HCBS Settings Analysis is being submitted as one component of the transition plan .	4/1/2014	7/31/2014	Iowa modified "Template for State Setting Analysis" herein referred to as Iowa HCBS Settings Analysis.
Provider Enrollment Processes	State will operationalize mechanisms to incorporate assessment of settings into existing processes for provider pre-enrollment screening by the Iowa Medicaid Enterprise (IME), provider credentialing by the managed care behavioral health organization (BHO), and HCBS provider certification by the HCBS Quality Oversight unit.	5/1/2014	12/31/2014	Existing IME Operational Procedures; Provider Pre-Enrollment Screening Assessment Tool; HCBS Certification Review Tools; BHO Provider Credentialing Tools
Geographic Information System (GIS) Evaluation of HCBS Provider Locations and HCBS Member Addresses	State will use GIS to analyze locations of provider sites and member addresses to identify potential areas with high concentration of HCBS.	5/1/2015	12/31/2015	Addresses on MMIS Provider File (provider type 99, 64, 23, 97); Addresses on MMIS Recipient File (waiver type A, B, C, D, F, H, M, and P); Addresses on BHO Provider File; Addresses on BHO Recipient File; GIS Software

Action Item	Description	Proposed Start Date	Proposed End Date	Sources/Documents
Onsite assessment	The State will incorporate review of settings into the review tools used by the HCBS Quality Oversight Unit for on-site reviews. Settings will be assessed during recertification reviews, periodic reviews, focused reviews, and targeted reviews. State will identify providers with sites of service that have the characteristics of HCBS or the qualities of an institution.	12/1/2014	ongoing	
Enrolled HCBS providers self-assessment	The state will modify the Provider Quality Management Self-Assessment to identify HCBS sites and to gather additional information from providers to assess sites of service that have characteristics of HCBS or the qualities of an institution. The annual self-assessment will be released to providers annually on October 1 and due to IME annually on December 1, with results compiled by February 28. The State will release the "Iowa Exploratory Questions for Assessment of HCBS Settings" document to assist providers in identifying the expected characteristics of HCBS.	10/1/2014	ongoing	Provider Quality Management Self-Assessment; Iowa Modified "Exploratory Questions to Assist States in Assessment of Settings" herein referred to as Iowa Exploratory Questions for Assessment of HCBS Settings; Iowa Modified "Settings That Isolate" herein referred to as Iowa - Settings with the Potential Effect of Isolating Individuals Receiving HCBS from the Broader Community.
Other projects collecting HCBS setting data	State provider association will provide information and input from residential providers to the state.	8/1/2014	ongoing	Iowa Association of Community Providers (IACP) Residential Provider Information.
Iowa Participant Experience Survey (IPES)	State will continue to monitor IPES results to flag member experience that is not consistent with assuring control over choices and community access.	12/1/2014	ongoing	IPES Survey; Logging tool
Onsite Assessment Results Report	State compiles and analyzes findings of onsite assessments annually by July 31, with the final report completed by 3/17/19. Findings will be presented to Iowa DHS leadership and stakeholders.	5/1/2015	By 3/17/2019	Data compiled from documents and logged into database - Remedial strategies included at aggregate and individual level

## Section 2: Remediation Strategies

Iowa proposes a remediation process that will capitalize on existing HCBS quality assurance processes including provider identification of remediation strategies for each identified issue, and ongoing review of remediation status and compliance. The state may also prescribe certain requirements to become compliant. Iowa will also provide guidance and technical assistance to providers to assist in the assessment and remediation process. Providers that fail to remediate noncompliant settings timely may be subject to sanctions ranging from probation to disenrollment.

Action Item	Description	Proposed Start Date	Proposed End Date	Sources/Documents
Informational Letters	State will draft and finalize informational letters describing proposed transition, appropriate HCBS settings, deadlines for compliance, and technical assistance availability. BHO will provide the same information to provider network.	6/1/2014	7/31/2016	CMS Guidance; Proposed Transition Plan; CFR
Iowa Administrative Code	State will revise administrative rules to reflect federal regulations on HCBS settings. Rules will define HCBS setting thresholds and will prohibit new sites from being accepted or enrolled that have an institutional or isolating quality while presenting deadlines for enrolled providers to come into compliance. Rules will clarify expectations of member control of their environment and access to community. BHO will develop the same standards for provider network.	12/1/2014	7/31/2015	CMS Guidance; Proposed Transition Plan; CFR; Iowa Administrative Code chapters 441-77, 78, 79, and 83.
Provider Manual Revisions	State will revise HCBS provider manual to incorporate regulatory requirements for HCBS and qualities of an HCBS setting. BHO will incorporate the same information into relevant provider network manuals.	8/1/2015	12/31/2015	CMS Guidance; Proposed Transition Plan; CFR; 16K Manual
Incorporate Education and HCBS Compliance Understanding into Provider Enrollment	IME Provider Services Unit Pre-Enrollment Screening process will make adjustments to ensure that HCBS settings are evaluated when appropriate. When agencies enroll to provide HCBS services, they will be provided information on HCBS setting requirements and be required to certify that they have received, understand, and comply with these setting requirements.	12/1/2014	ongoing	Iowa HCBS Settings Analysis; Iowa Exploratory Questions for Assessment of HCBS Settings; as Iowa - Settings with the Potential Effect of Isolating Individuals Receiving HCBS from the Broader Community; Provider Enrollment Tools; Provider Agreement
Provider Assessment Findings	State will present each provider with the results of the assessment of their organizational HCBS settings as findings occur throughout the assessment process.	12/1/2014	ongoing	

Action Item	Description	Proposed Start Date	Proposed End Date	Sources/Documents
Provider Individual Remediation	HCBS providers will submit a corrective action plan (CAP) for any settings that require remediation. The CAP will provide detail about the steps to be taken to remediate issues and the expected timelines for compliance. The state will accept the CAP or may ask for changes to the CAP. The state may preset remediation requirements for each organization's HCBS settings. Providers will be required to submit periodic status updates on remediation progress. State review of CAPs will consider the scope of the transition to be achieved and the unique circumstances related to the setting in question. The state will allow reasonable timeframes for large infrastructure changes with the condition that the providers receive department approval and provide timely progress reports on a regular basis. Locations presumed to be non-HCBS but which are found to have the qualities of HCBS will be submitted to CMS for heightened scrutiny review.	12/1/2014	3/16/2019	Iowa HCBS Settings Analysis; Iowa Exploratory Questions for Assessment of HCBS Settings; as Iowa - Settings with the Potential Effect of Isolating Individuals Receiving HCBS from the Broader Community
Data Collection	State and BHO will collect data from reviews, technical assistance, updates, etc. to track status of remediation efforts. Data will be reported on a regular basis or ad hoc to DHS management and CMS.	12/1/2014	3/16/2019	Electronic tools developed to capture data.
Onsite Compliance Reviews	State will conduct onsite reviews to establish levels of compliance reached by providers with non-HCBS settings following completion of their remediation schedule.	12/1/2014	3/1/2019	HCBS Certification Review Tools
Provider Sanctions and Disenrollments	State will disenroll and/or sanction providers that have failed to meet remediation standards. State will disenroll and/or sanction providers that have failed to cooperate with the HCBS Settings Transition.	12/1/2014	3/16/2019	Disenrollment Template Letter; Sanction Template Letter
Member Transitions to Compliant Settings	If relocation of members is necessary, the state will work with case managers, service workers, and care coordinators to ensure that members are transitioned to settings meeting HCBS Setting requirements. Members will be given timely notice and due process, and will have a choice of alternative settings through a person centered planning process. Transition of members will be comprehensively tracked to ensure successful placement and continuity of service.	12/1/2014	3/16/2019	Disenrollment Template Letter; Sanction Template Letter; Notice of Decision (including appeal rights); Data warehouse query of members affected and corresponding case managers, service workers, and care coordinators.

### Section 3: Public Comment

Iowa proposes to collect public comments on the transition plan through a dedicated email address for submission of written comments, and through taking public comments directly by mail. Iowa has also previously held comment periods in May 2014 and November 2014 which included solicitation of comments through stakeholder forums. In addition to posting the transition plan and related materials on the Iowa Medicaid website, numerous stakeholders were contacted directly and provided with transition plan documents and information on the stakeholder forums. Stakeholders contacted include Disability Rights Iowa, the Iowa Association of Community Providers, the Iowa Health Care Association/Iowa Center for Assisted Living, Leading Age Iowa, the Iowa Brain Injury Association, the Olmstead Consumer Task Force, the Iowa Mental Health and Disability Services Commission, the Iowa Developmental Disabilities Council, NAMI Iowa, ASK Resource Center, Area Agencies on Aging, County Case Management Services, and MHDS Regional Administrators.

Action Item	Description	Proposed Start Date	Proposed End Date	Sources/Documents
Announcement of Public Comment Period	State released a White Paper, the Draft Transition Plan, and Draft Settings Analysis on the state website. Informational Letters were released and sent to all HCBS waiver providers, case managers and DHS service workers. Stakeholders (listed above) were contacted directly to inform them of the public comment period. A dedicated email address (HCBSsettings@dhs.state.ia.us) was established to receive public comments. Tribal notices were sent. Notices were filed in newspapers. Printed versions were made available in DHS local offices statewide, along with instructions on submitting comments via mail.	3/9/2015	3/13/2015	Draft Transition Plan; Draft Settings Analysis; HCBS Settings White Paper; Informational Letters
Public Comment Period - Proposed Transition Plan	State will share transition plan with the public in electronic and non-electronic formats, collect comments, develop state responses to public comments, and incorporate appropriate suggestions into transition plan. The Response to Public Comments document will be posted to the DHS website and a summary provided to CMS. Previous comment periods were held in May 2014 and November 2014 which included stakeholder forums.	3/16/2015	4/15/2015	Draft Transition Plan; State Response to Public Comments Document
Public Comment Retention	State will safely store public comments and state responses for CMS and public consumption.	4/15/2015	3/16/2019	Public Comment and State Response Document
Posting of Transition Plan Iterations	State will post each approved iteration of the transition plan to its website.	4/15/2015	3/16/2019	Transition Plan; Rationale for Changes Made
Assessment Findings Report	State shares the findings of the onsite assessment annually by July 31.	7/1/2015	By 3/17/2019	Data compiled from documents and logged into database; remedial strategies included at aggregate level.